



PRE-ACCEPTANCE LISTS GENERAL SECTION 13

13.1 GENERAL. Manufacturers and material components may have a Pre-Acceptance list (PAL) included in this manual. Construction and Materials will take every reasonable precaution to ensure that the lists are kept current, however if there is a question, Headquarters Materials should be contacted. There are occasions when items are dropped from the list. If the deletions are critical, the district will be advised by letter or other communication. Otherwise, deletions and additions will be taken care of with subsequent manual updates. Specific producers and/or specific products will be listed with an expiration date, depending on the material. This date designates when the item's Pre-Acceptance will be terminated and should be referenced to verify the PAL status, prior to the use of that material.

13.2 POLICY. Pre-Acceptance lists indicate materials or sources that have complied with the pre-acceptance requirements of the specification and have committed to providing specification compliant material. (See [GS-13 Form 1](#)) After an initial transition period, materials that have a Pre-Acceptance List will require PAL inclusion for acceptance. During the transition period, materials that have a PAL may be accepted by PAL inclusion or an alternate inspection procedure. All PAL material will be considered for acceptance in accordance with the appropriate specifications.

13.3 RESPONSIBILITY.

13.3.1 HEADQUARTERS. Headquarters Materials is responsible for the following in regard to the PAL inspection program.

13.3.1.1 LIST MAINTENANCE. Evaluation of material products for pre-acceptance will be coordinated by Headquarters Materials. Inclusion and removal of materials or sources from the lists will be the responsibility of Headquarters Materials. Frequency of testing will be determined or approved by Headquarters Materials. The expiration date shown for a producer or product will be three years from the first day of the month following the month in which approval was granted. Each branded product will be handled independently. A producer may submit reapplication for any product(s) at any time and a new three year approval will be established if the application is in order. Reapplication cannot be used to offset the status of any material or producer with regard to PAL failures.

13.3.1.2 REMOVAL FROM PAL FOR SAMPLE FAILURE. In general, removal of a PAL material or source for sample failure will occur upon the second failed sample in any 12 consecutive months. However, Headquarters Materials reserves the right for immediate removal upon any failure, if such action is deemed necessary based on specific circumstances. The Producer/Supplier will be notified of the first failure, and any subsequent failures, by written letter under the signature of the State Construction and Materials Engineer. The letter will be sent via certified mail, with return receipt requested. The letter will be kept on file at GHQ and District Pal representatives will be made aware of the failure and that notification to the Producer/Supplier has been made. The date of the letter will serve as the start date for the beginning of the probationary period or suspension period. Removal for reasons other than sample failure will occur as indicated in the specifications.



13.3.1.2.1 PAL REVIEW COMMITTEE. A committee will consider all PAL probationary or suspension actions relative to the PAL process. The committee will include the Directors of the Field Office, Chemical Laboratory and Physical Laboratory, and two Technical Support Engineers, one with a materials background and one with a construction background, as selected by the State Construction and Materials Engineer. The materials Technical Support Engineer will arrange a meeting of the committee when so requested by any committee member. Three members of the committee must agree to any action recommended. The recommended action is forwarded to the State Construction and Materials Engineer for approval.

13.3.1.2.2 PAL REVIEW PROCESS. The PAL review process will be initiated for: failure of a material to meet specifications, failure of a PAL participant to provide proper documentation, failure of a PAL participant to facilitate the inspection process as necessary, or other reasons where a participant might be removed from the Pre-Acceptance List. When a failure occurs, the district inspector is to be notified of the failure. The district will determine the disposition of the failed material. When the material is located in more than one district, the materials Technical Support Engineer will coordinate a determination of appropriate disposition of the material.

13.3.1.3 PAL MATERIAL ARRIVAL CONFIRMATION.

13.3.1.3.1 PROJECT SPECIFIC MATERIAL. Upon determination by the manufacturer, supplier, wholesaler, or contractor, that PAL material will be delivered to a project, they must notify the Headquarters Materials office. The notification must include the contract number, the specific line item number that the material will be used on, the material, the brand name of the product (if applicable), the shipping date, and the quantity to be shipped. (See [GS-13 Form 3](#)) This notification will allow the Headquarters Materials office to determine what material is being delivered, if the specific material indicated is an acceptable PAL material, and how much material is to be expected. When the brand name (manufacturer) or shipping date is not firm at the time the form is submitted, they can be predicted. If any prediction is subsequently determined by the shipper to be incorrect, the shipper shall re-submit the GS-13 Form 3, which includes the PAL Identification Number, with the corrections clearly indicated. A handwritten correction of the original form is acceptable. Shippers are allowed to submit the form with predicted values to accommodate their need to have the PAL Identification Number early in the fabrication or manufacturing process. All documentation required by the specification shall be retained on file by the entity submitting GS-13 Form 3, for a period of two years. The information must be made available to the MoDOT inspector upon request.

Upon receipt and review of the form, the Headquarters Materials office will create a sample record for the material, in SiteManager, and notify the manufacturer, supplier, wholesaler, or contractor of the sample ID number. This sample ID will be the "PAL Tracking Number" for the material. The manufacturer, supplier, wholesaler, or shipper shall attach the phrase "PAL" plus the provided number, to the material, such that all material represented shall be readily and accurately identifiable. Immediate use of material properly identified with a PAL Tracking Number is acceptable. Headquarters has acquired a supply of tags that can be purchased by the suppliers for this purpose, or the suppliers may use any tag, the same size or larger. Orange tags are required however, substitution of an alternate color shall not be the basis for rejection of the material. The intent of the tag color is to make the tag and the PAL number obvious. Inspectors are encouraged to notify Headquarters Materials when an alternate tag is provided which does not fulfill this intent adequately.



13.3.1.3.2 VALUE ADDED (GENERAL) MATERIAL. Upon arrival of PAL material at a fabrication, production or mixing facility, (this includes steel fabrication, pre-cast, pre-stress, and ready-mix facilities) notification must be sent to Headquarters Materials. The notification must include the facility name and location, a contact person at the fabrication facility who will be responsible for PAL material concerns, the material, the brand name of the product (if applicable), the arrival data, and the quantity. (See GS-13 Form 2) In most instances, this notification is the responsibility of the facility; however there will be instances where the facility seldom receives PAL material. The MoDOT inspector at that facility is encouraged to assist with submission of the appropriate information. This notification will allow the Headquarters Materials office to determine what material is being delivered, if the specific material indicated is an acceptable PAL material, and how much material is involved. Upon receipt and review of the required documentation, the Headquarters Materials office will then be responsible to create a sample record for the material in SiteManager and notify the fabrication facility of the sample ID number. This sample ID will be the “PAL Tracking Number” for the material. The fabrication facility shall attach the phrase “PAL” plus the number to the material, or post the Receiver’s GS-13 Form 2, such that all material represented shall be readily and accurately identifiable. Immediate use of material properly identified with a PAL Tracking Number is acceptable.

13.3.1.3.3 EXEMPTED FACILITIES. Facilities that are responsible for the “Shipper’s PAL Material Transmittal Form” will not be required to submit the “Fabricator’s PAL Material Receival Form”. Documentation at these facilities will be checked periodically during on-site quality assurance reviews. The facility must retain the documentation on file for one year from the final handling of the material. The documentation must be filed so a representative of the facility can provide it to the inspector within a few minutes of any request.

13.3.1.3.4 AUTHORITY. The State Construction and Materials office is responsible for ensuring that the PAL Tracking Number is generated by someone that has the authority and expertise required to make the determination that all PAL requirements have been met. The determination of acceptability shall not be made until all required documentation has been received and verified to be correct.

13.3.2 DISTRICTS. Each District office shall have the following responsibility with regard to the PAL inspection program.

13.3.2.1 CONSTRUCTION INSPECTION. Construction personnel at the project site will review any PAL material that arrives, for general condition and apparent compliance with the applicable specifications. Material that appears to be specification compliant and that has a proper PAL tag attached may be released for use by the contractor. The PAL I.D. number and a basic description of the material will be recorded by the construction inspection staff for confirmation of the SiteManager record. The SiteManager sample record will be reviewed to confirm that the material received and the material reported matches. The match will be documented in the SiteManager record as a remark or (Services) disposition remark. The remark will include the inspector’s userid, the date, and the comment “material received”. In the event that the material does not reasonably match the sample record description, Materials at the District and Headquarters is to be notified by the inspector.

13.3.2.2 MATERIALS INSPECTION. Inspection requirements for PAL materials will be as required by the specific section of the Standard Specification, the Standard Drawings, and the Materials Manual, except that the frequency of required samples shall be as required by Headquarters Materials. The PAL inspection policy may reduce the number of samples required, but will not reduce the detail or thoroughness of the inspection. During the transition



to PAL from traditional inspection processes, material may be accepted other than as indicated in the applicable sections of the specifications or manual.

13.3.2.3 FREQUENCY OF INSPECTION. Each PAL material will be inspected at a minimum of once per month (for each month a shipment is received), and at an average rolling rate of once per 10 shipments, but no more than once per each shipment. New producers and producers identified as having problems with their quality control will be subject to higher rates of sampling. No lot shall be sampled twice, except as directed by Headquarters Materials. It is the responsibility of the district to obtain PAL samples when directed to do so by Headquarters Materials. New producers may be sampled according to the following table.

Number of Shipments	Number of Samples	Percentage Sampled
1	1	100
2	2	100
3	3	100
4	4	100
5	4	80
7	5	71
10	6	60
13	7	54
17	8	47
22	9	41
28	10	36
35	11	31
50	12	24
72	13	18
140	14	10

Sampling frequency will be monitored on the basis of a running total of 140 shipments.

13.3.2.4 DISTRICT PAL REPRESENTATIVE. Each district shall designate a district materials employee to be their PAL representative. This person shall be the contact for any PAL related concerns and will represent the district in any meetings and training required on PAL topics. If contacted by a manufacturer, supplier, wholesaler, or contractor regarding acceptance into the PAL system, the district is encouraged to provide assistance in the application and any routine PAL processes. Any member of the district with knowledge of the PAL system can provide assistance.

13.3.2.5 PROJECT SAMPLING AND TESTING. It is the responsibility of the District Project Operations office to ensure that all required samples are taken and field tests performed. At a minimum, the samples required for PAL material acceptance and use shall be taken. Additional samples may be taken at the discretion of the district based on the concerns of any MoDOT inspector that has contact with the material. The district should be aware that use of this material is not pending sampling and testing unless some deficiency is observed or suspected, and thus care should be taken to ensure proper, adequate samples are taken and that submittals and contact regarding material concerns should be handled in an expeditious manner. Samples taken at the direction of Headquarters Materials should be detailed in SiteManager as "PAL Quality Assurance" (Sample Type) and be linked to the PAL Tracking Number (sample ID number). Samples taken at the discretion of the district based on suspicion of contamination, poor handling, or other problems not directly attributable to the manufacturer should be designated "District Project" or "District General". Report sample to the contract number, but show quantity as zero. The sample ID assigned to a PAL quality assurance sample shall conform to [AS-3510](#).



13.3.2.6 FACILITY REVIEW, SAMPLING AND TESTING. It is the responsibility of the District Project Operations office to visit PAL facilities, when designated by Headquarters Materials, to ensure that all documentation and procedures comply with PAL requirements, and that any discretionary samples are taken and field tests performed. The PAL quality assurance inspection of material should always be performed after the plant personnel have conducted their quality control and testing on the material. It is important that the producer be given the opportunity to segregate non-compliant material as part of their quality control process. The quality control process must reliably eliminate suspect material from possible shipment to MoDOT projects. Samples taken should be detailed in SiteManager as Quality Assurance samples and linked to the appropriate PAL Tracking Number (a sample ID number), when applicable. The sample ID assigned to a PAL quality assurance sample shall conform to [AS-3510](#). One sample record shall document the findings of the inspector on that date with regard to accessibility and completeness of material documentation, cooperation of facility staff in the documentation review, accessibility to the operation and to samples, assistance with sampling and facilitation of any field testing required.

13.3.2.7 MAINTENANCE PURCHASE ORDER SAMPLING AND TESTING. Material presented to MoDOT to fulfill a purchase order is to be field inspected for general appearance, condition following shipment, and to confirm specification compliance based on field tests performed by the inspector. Material acceptance or rejection is to be reported in SiteManager. A copy of the report is to be provided to district procurement services when districts processes require it prior to payment to the supplier. Note: this material is not expected to have a PAL tag.

13.4 SAMPLING. The material shall be sampled and tested as indicated by the applicable specification, except that Headquarters may designate sample size at the time the sample is requested. The PAL specification requires that the contractor or material supplier obtain a representative sample of material when so designated by MoDOT. The MoDOT inspector will designate the material to be sampled and will observe the sampling process. The name of the sampler will be recorded in the sample record. Any deviation from good sampling procedures will be documented in the sample record remarks. It is the responsibility of the material manufacturer to provide instructions for obtaining a representative sample. These samples may affect the manufacturer's ability to remain on PAL. It is critical that potential sampling errors be documented in detail.

13.4.1 DISCRETIONARY SAMPLING. The district may sample any PAL material any time the quality of the material is suspect. Such sampling and testing may cause rejection of the shipment or require other remedy to correct any deficiency, and may affect the material's status on PAL.

13.5 REPORTS.

13.5.1 MATERIAL ACCEPTANCE. At the time a PAL Identification Number is assigned, the material is considered conditionally accepted and, a SiteManager Sample Record is created to provide the PAL Identification Number and to be the final material acceptance report.

13.5.2 MATERIAL REJECTION. Conditional acceptance is based on the PAL process and may be revoked for material damaged in transit, material that is not accurately represented when the PAL Identification Number was obtained, or material subsequently sampled and tested as part of the PAL quality assurance process, which fails.



MATERIALS

13.5.2.1 CENTRAL LABORATORY REJECTION. When a sample fails to comply with specifications or when material is found to be unacceptable for use, the material will be rejected, and the sample record associated with the material will be marked rejected. The inspector that submitted the sample will be informed of the failure and will then be responsible for notification of the contractor, shipper, and appropriate MoDOT personnel regarding the material failure and any action expected related to disposition of the represented material. The inspector will be responsible for any SiteManager records necessary to remove the material's posting to any contracts. The record should detail explicitly that the material was submitted for use and acceptance based on PAL inspection practices, and shall indicate the PAL Identification Number and the cause for rejection. The inspector is not responsible for any action regarding the shipper's Pre-Acceptance Listing.

13.5.2.2 FIELD REJECTION. When a sample fails to comply with specifications or when material is found to be unacceptable for use, the material will be rejected, and the sample record associated with the material will be marked rejected. The inspector will be responsible for notification of the contractor, shipper, and appropriate MoDOT personnel regarding the material failure and any action expected related to disposition of the represented material. The inspector will be responsible for any SiteManager records necessary to remove the material's posting to the contract. The record should detail explicitly that the material was submitted for use and acceptance based on PAL inspection practices, and shall indicate the PAL Identification Number and the cause for rejection. The inspector will notify Headquarters of the failure so action regarding the shipper's Pre-Acceptance Listing may be taken by Headquarters.

13.5.2.3 DISPOSITION OF REJECTED MATERIAL. Use of the rejected material will cease immediately and a determination will be made as to the acceptability of any material in place.

